

Electronic Acknowledgement Receipt

EFS ID:	8329394
Application Number:	10655409
International Application Number:	
Confirmation Number:	6575
Title of Invention:	Computer-implemented securities trading system with a virtual specialist function
First Named Inventor/Applicant Name:	Timothy M. Keiser
Customer Number:	63710
Filer:	Christopher David Agnew/David Postolski
Filer Authorized By:	Christopher David Agnew
Attorney Docket Number:	98-HSX001-C5
Receipt Date:	31-AUG-2010
Filing Date:	04-SEP-2003
Time Stamp:	16:14:06
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$180
RAM confirmation Number	3070
Deposit Account	503938
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/Message Digest	Multi Part/.zip	Pages (if appl.)
1	Transmittal Letter	98-HSX001-C5_100831_IDS.pdf	27873 5:2e12640d13d952f29ebfa4a7098f0e8ff1a bbd4	no	3

Warnings:

Information:

2	Information Disclosure Statement (IDS) Filed (SB/08)	98-HSX001-C5_100831_1449.pdf	74223 ba2ca79d3059cafa173d16d4e175800f70 bb665	no	9
---	--	------------------------------	--	----	---

Warnings:

Information:

This is not an USPTO supplied IDS fillable form

3	Foreign Reference	WO0177940.pdf	3682149 03de8f853b7864153a1f1cc0e13e75c9f9e4c3 002ba	no	85
---	-------------------	---------------	--	----	----

Warnings:

Information:

4	Foreign Reference	WO02025547.pdf	2414244 f9b4a751e7dd9b7905c2157d16e8e702 32d17	no	60
---	-------------------	----------------	--	----	----

Warnings:

Information:

5	Foreign Reference	WO03100567.pdf	1474650 bb6617ed1d278770b46d49b7d17a4ff1a c2fc1	no	43
---	-------------------	----------------	---	----	----

Warnings:

Information:

6	Foreign Reference	WO05017700.pdf	932327 e91f3e3b6e7373a561b6c34fb94f7fe233a5 9919	no	24
---	-------------------	----------------	--	----	----

Warnings:

Information:

7	NPL Documents	CEDWARD_NPL.pdf	1615818 20f9454b1345e67216a619200d708/ee7fe d4f69	no	32
---	---------------	-----------------	---	----	----

Warnings:

Information:

8	NPL Documents	CINEtec_NPL.pdf	142104 f0b437463880f79c9b2662197c3677fb17e a95c	no	2
Warnings:					
Information:					
9	NPL Documents	ENG_NPL.pdf	859834 f578fb6e715d51c0fb26e1b04744e97237e7e e51	no	2
Warnings:					
Information:					
10	NPL Documents	Film_Venture_NPL.pdf	387093 b0497e721679fbef4fb9fb4931a55942c98 e9c	no	5
Warnings:					
Information:					
11	NPL Documents	GAYLORD_npl.pdf	142269 f0bb9016e9a807cd5e985c2a9f082b7cc60 88b	no	3
Warnings:					
Information:					
12	NPL Documents	GOLIATH_NPL.pdf	63417 6fe9b1751deff888161a26b907ee3a9e9 41060	no	1
Warnings:					
Information:					
13	NPL Documents	Lee_NPL.pdf	4216786 99d8c1b8de169942e0f97b7142a1a6c94 1594d	no	140
Warnings:					
Information:					
14	NPL Documents	PCTUS200501276.pdf	375315 d2e18710ff161756d1fbef057061a9a56 b98e9	no	9
Warnings:					
Information:					
15	NPL Documents	PCTUS200619316.pdf	315387 dd64181de337f3b17a1cdace4b9f9f12e20 9e4f0	no	6
Warnings:					
Information:					
16	NPL Documents	PCT-US07-093B3_IPER_10-22-2008.pdf	342102 15ef54fe07587cb46073205613680e63cc21 b3e0	no	6
Warnings:					
Information:					

17	NPL Documents	PCT-US07-09389_IPER_10-22-2008.pdf	241687 1995e52c0724ea94cf1f9997f82fb403207b6	no	5
----	---------------	------------------------------------	---	----	---

Warnings:
Information:

18	NPL Documents	PCT-US04-09796_07-21-2008.pdf	373116 a62f90004e0a2f465d6a51f1e71010914a5cb	no	7
----	---------------	-------------------------------	---	----	---

Warnings:
Information:

19	NPL Documents	PCT-US0409798_09-08-2005.pdf	58791 01e4072489ddc90e0e6fa511e2e2eb3b944	no	1
----	---------------	------------------------------	--	----	---

Warnings:
Information:

20	NPL Documents	09660296_000913_APP.pdf	1609293 181e16e5fb1f2a538ec3f6239c69f190e678485	no	38
----	---------------	-------------------------	--	----	----

Warnings:
Information:

21	NPL Documents	Mukta_arts_ltd.pdf	1016203 619e13fc3aa552a078d1803924c083947a6460fb2	no	20
----	---------------	--------------------	--	----	----

Warnings:
Information:

22	NPL Documents	Martinez_Barbara_A_New_Craze_for_March.pdf	55882 0e53f76c905e08d8fb3c389c4108b3916c139	no	1
----	---------------	--	--	----	---

Warnings:
Information:

23	NPL Documents	09-660296_OAs.pdf	4330091 0a6eb5a6c0b8f3bd1b71981d1787767e17137d	no	97
----	---------------	-------------------	---	----	----

Warnings:
Information:

24	NPL Documents	Film_Finances_Inc_The_World_Leader_in_Completion_Guarantees_Internet_Print-Out_1pg_dated_051123.pdf	146103 277853a2c139819a7918326d1546be7819710	no	1
----	---------------	---	---	----	---

Warnings:
Information:

25	NPL Documents	05-HSX001CIP_100401_3mo_Non-Final_Office_Action.pdf	679149 5925190264096e79ac6b13b9cc75cf1b981990b	no	20
----	---------------	---	---	----	----

Warnings:
Information:

26	NPL Documents	05-HSX001CIP_050725_app_11189262.pdf	3826294 bdec2a1d1b7ee409991c4a1181ca995a21	no	108
Warnings:					

27	NPL Documents	05-HSX001CIP_080111_Office_Action.pdf	896656 b6d4510ddde12ac4172a949080c527eef359ed	no	23
Warnings:					

28	NPL Documents	05-HSX001CIP_100226_Non-FinalOfficeAction.pdf	76769 b6d4510ddde12ac4172a949080c527eef359ed /ec:20	no	2
Warnings:					

29	NPL Documents	98-HSX001-CIP3_Application_As_Filed.pdf	3556731 2e652d11bed807486ca661cb1c9401265a8f05c	no	83
Warnings:					

30	NPL Documents	98-HSX001-CIP3_100810_3mo_Non-Final_Office_Action.pdf	1866639 1d9b9bd92b716388178e4477b3e5b1e6b2ee515	no	48
Warnings:					

31	NPL Documents	98-HSX001-CIP3_100603_Non-FinalOfficeAction.pdf	79597 46081ba35b1b6cb9f5e2d691c94703767a815e	no	2
Warnings:					

32	NPL Documents	98-HSX001-CIP4_Application_As_Filed.pdf	3335121 8a684643024c94b7b5e5b4b-e6d70350fdd345	no	79
Warnings:					

33	NPL Documents	98-HSX001-CIP4_100607_Non-FinalOfficeAction.pdf	77675 adef0d62737ec179c2b0f72c5bb9b101679ba7f	no	2
Warnings:					

34	NPL Documents	03-6164_Application_As_Filed_from_PAIR.pdf	1724403 1c1e4c557410780b9b199b290c6f507a60	no	36
Warnings:					

Information:					
---------------------	--	--	--	--	--

35	NPL Documents	10822484_allowance_prelief_oa2004.pdf	929064 d9e5086e575d8c2ae311a800e6eb5e627a d3f8ae	no	25
Warnings:					
Information:					
36	NPL Documents	03-6157_040414_Application_As_Filed_Plus_Prelim_Amendment.pdf	1347253 58531ea2d21341a4a6bc7c6152a31df7f c39ea	no	33
Warnings:					
Information:					
37	NPL Documents	04-6191_080221_Office_Action.pdf	683145 697bbf30f1f53f3e8c-5899481a8045a7f 4c0	no	21
Warnings:					
Information:					
38	NPL Documents	04-6191_090305_Note_of_Allowance.pdf	281008 a69bcc511b1371786998a979a5b5821388 d3dc	no	7
Warnings:					
Information:					
39	NPL Documents	04-6191_090416_Note_of_Allowability.pdf	95468 d8d79b61ef75fb65288904f413eccc6783 b760	no	3
Warnings:					
Information:					
40	NPL Documents	04-6191_090512_Supplemental_Note_of_Allowance.pdf	198666 a6aa0979465ec044a9b5c76f193cb4294 669fc1	no	7
Warnings:					
Information:					
41	NPL Documents	04-6191_081104_3mo_Final_Office_Action.pdf	693342 54de93d7187fe3469d-061a013d501784d23a eddd80	no	19
Warnings:					
Information:					
42	NPL Documents	04-6191_090611_Supplemental_Note_of_Allowance.pdf	123690 c011ed59eb529e2469d-083a6d51c135b8 97002	no	4
Warnings:					
Information:					
43	NPL Documents	04-6191_090702_Supplemental_Note_of_Allowability.pdf	78833 102d8039c29e094e08f7c9416fcc9e5817c b7fb	no	2
Warnings:					
Information:					

44	NPL Documents	04-6197_050721_Application_as_published.pdf	166082 16602a5340b455ec05454600e810f91eb8f c882	no	16
Warnings:					
Information:					
45	NPL Documents	04-6197_080319_PTO_Office_Action.pdf	1078951 246c0012019a0e0f17e402e1426f3026c483 588	no	36
Warnings:					
Information:					
46	NPL Documents	04-6197_090303_Advisory_Action.pdf	87798 e1194fb1b0e640ff680dade911a24b6f1 500	no	2
Warnings:					
Information:					
47	NPL Documents	04-6197_090529_Noticce_of_Panel_Decision_from_Pre-Appeal_Brief_Review.pdf	79020 a72b49022bf984002e931886e5e1552d9f 0fb4d	no	2
Warnings:					
Information:					
48	NPL Documents	04-6197_100226_Supplemental_Noticce_of_Allowability.pdf	158462 8897991dd5ca08e3421d705375487a8fb1 bc16d7	no	5
Warnings:					
Information:					
49	NPL Documents	04-6197_080220_Office_action.pdf	363007 e96c2049de70894c3c177853084e05333 482e	no	13
Warnings:					
Information:					
50	NPL Documents	04-6197_081215_Final_Office_Action.pdf	466921 981d2b1c62d4ec69d8380130875e6db7116f c2b17	no	17
Warnings:					
Information:					
51	NPL Documents	04-6197CIP_050922_Application_as_published.pdf	185691 a8ff4c0201fc619e59c138075e6db7116f 888	no	18
Warnings:					
Information:					
52	NPL Documents	04-6197CIP_080331_Final_Office_Action.pdf	345330 f143465351e035593922143fb181454f8 d39710	no	13
Warnings:					
Information:					

53	NPL Documents	04-6197CIP_081223_Final_Office_Action.pdf	866309 8f23fb99a4c4238e728kf53e003af2f649 6af	no	33
----	---------------	---	---	----	----

Warnings:
Information:

54	NPL Documents	04-6197CIP_091125_Nonice_of_Allowance_and_Fees_Due.pdf	835364 8f62ce53160172f18e54457663ba4918e 88025	no	22
----	---------------	--	--	----	----

Warnings:
Information:

55	NPL Documents	04-6197CIP_090430_Nonice_of_Panel_Decision_from_Pre-Appeal_Review.pdf	75807 4abfbff1357fc01ab818bc5a0899617cf49 62709	no	2
----	---------------	---	---	----	---

Warnings:
Information:

56	NPL Documents	04-6197CIP_100301_Supplemental_Nonice_of_Allowability.pdf	116209 6d15a26b6a72d494a78851a93411ecf3 2e881	no	3
----	---------------	---	---	----	---

Warnings:
Information:

57	NPL Documents	04-6196_050721_Application_as_published.pdf	171924 8f7a64ec5fcd00f5d22172916915ef6 88c	no	16
----	---------------	---	--	----	----

Warnings:
Information:

58	NPL Documents	04-6196_080220_Office_Action.pdf	713623 225c28735f919e8025a9628ff1742596b3 aa639	no	23
----	---------------	----------------------------------	---	----	----

Warnings:
Information:

59	NPL Documents	04-6196_090420_3mo_Non-Final_Office_Action.pdf	968219 5a23b519d65f5e321179b92e92a27686652 5276	no	25
----	---------------	--	---	----	----

Warnings:
Information:

60	NPL Documents	Mcabe_NPL.pdf	1390074 91a3b0f2de41f2e3a768091697575b678 24951	no	9
----	---------------	---------------	---	----	---

Warnings:
Information:

61	Fee Worksheet (PTO-875)	fee-info.pdf	30312 8a4ff3dcb551a8f02152290ab09f5fbfe 6986d	no	2
----	-------------------------	--------------	---	----	---

Warnings:
Information:

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.